

009220" 50292960

## Communications Hardware Topology

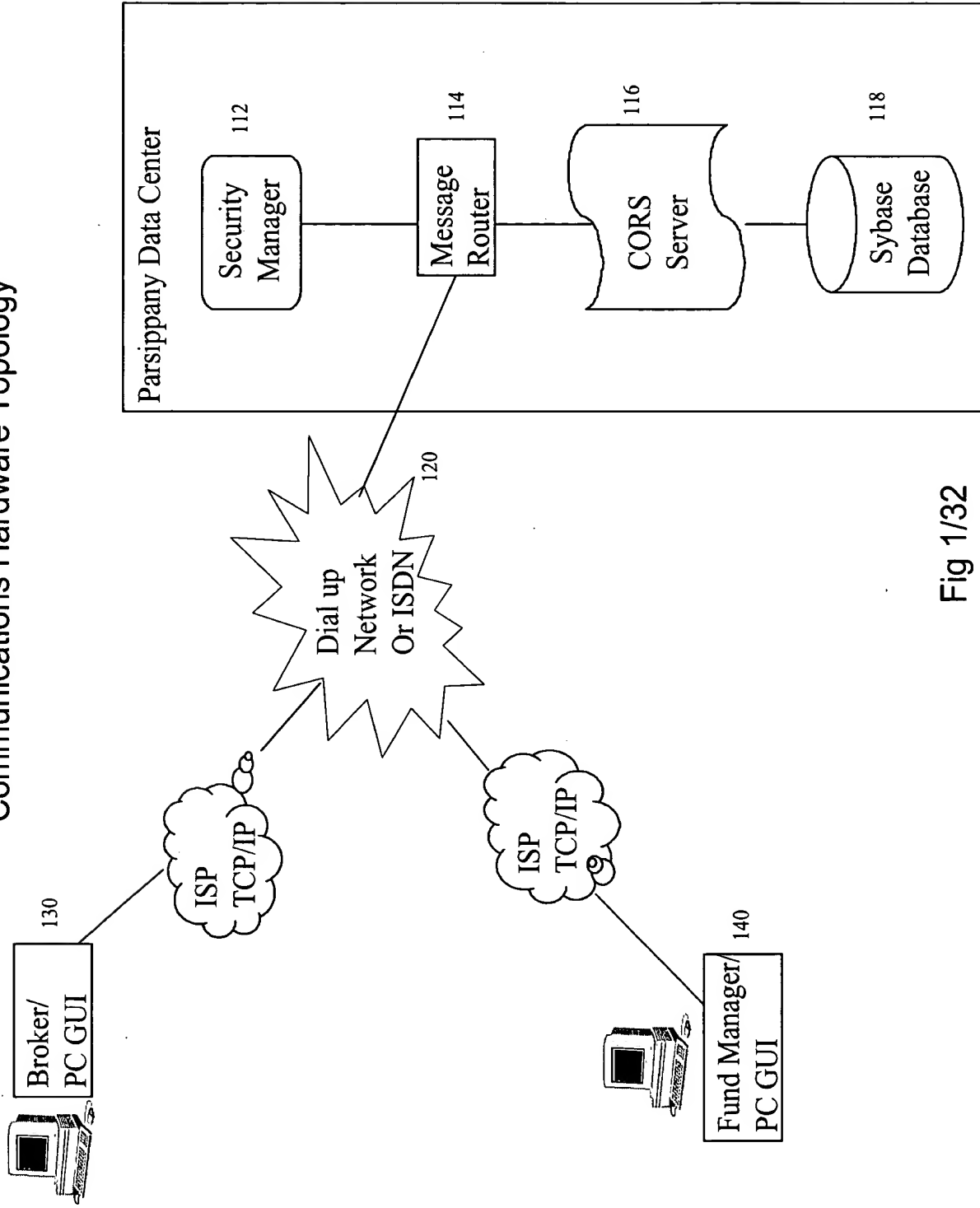


Fig 1/32



# System Schematic

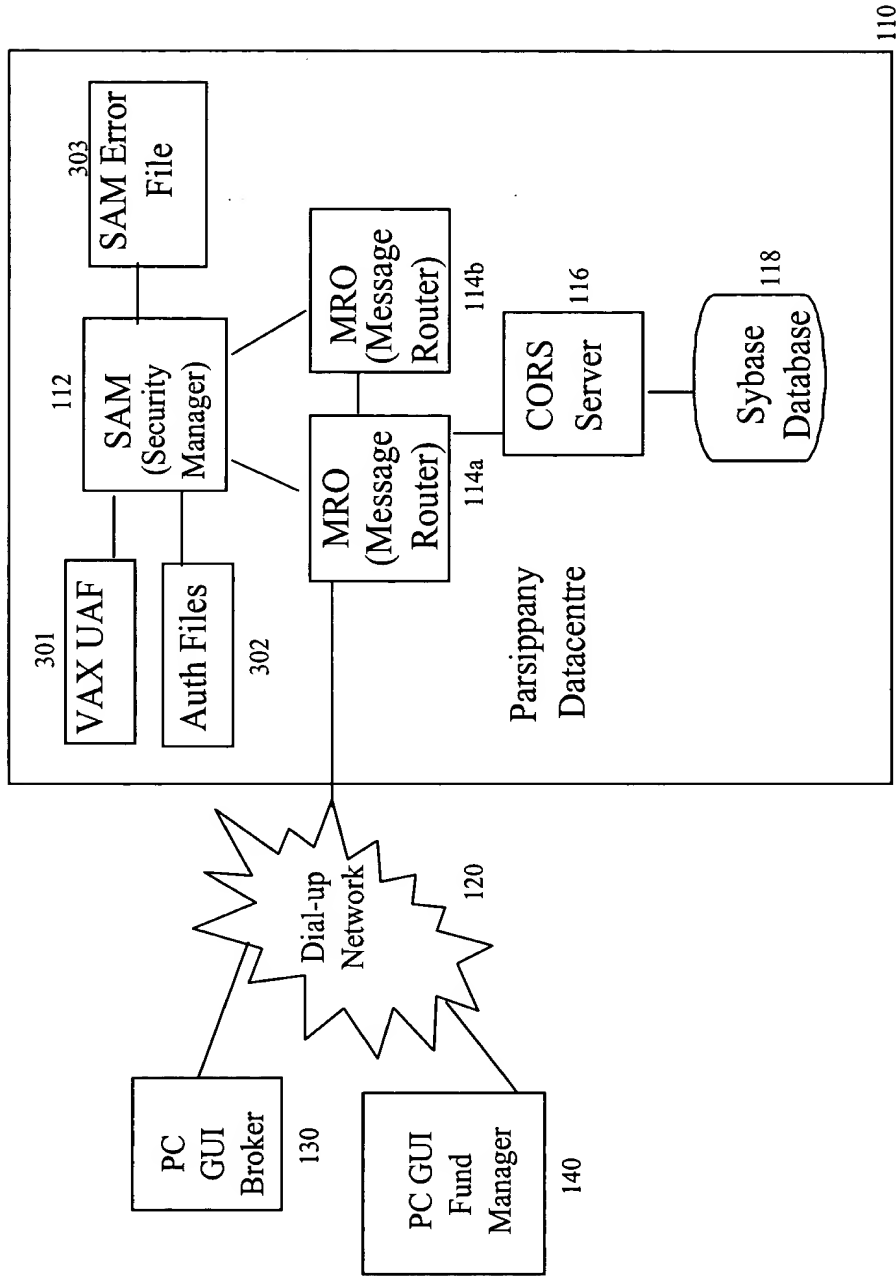


Fig 3A/32

## Design Overview

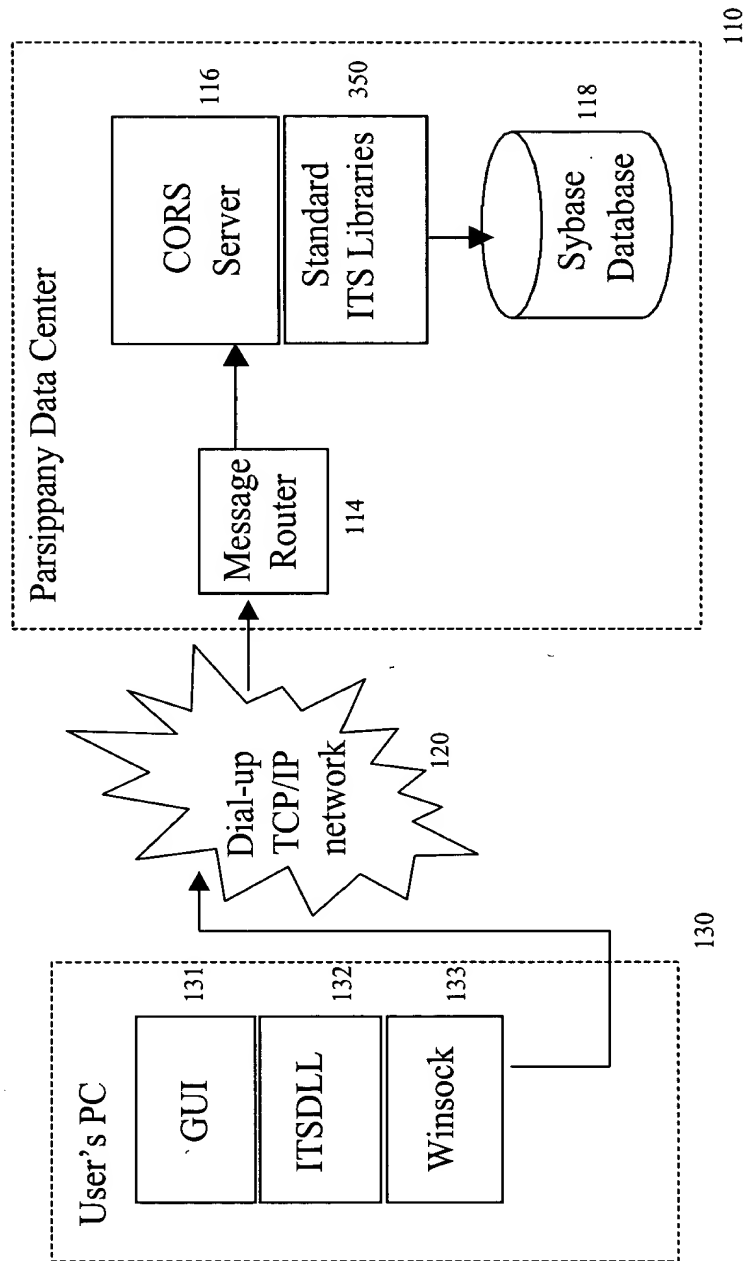


Fig 3B/32



## Logging On

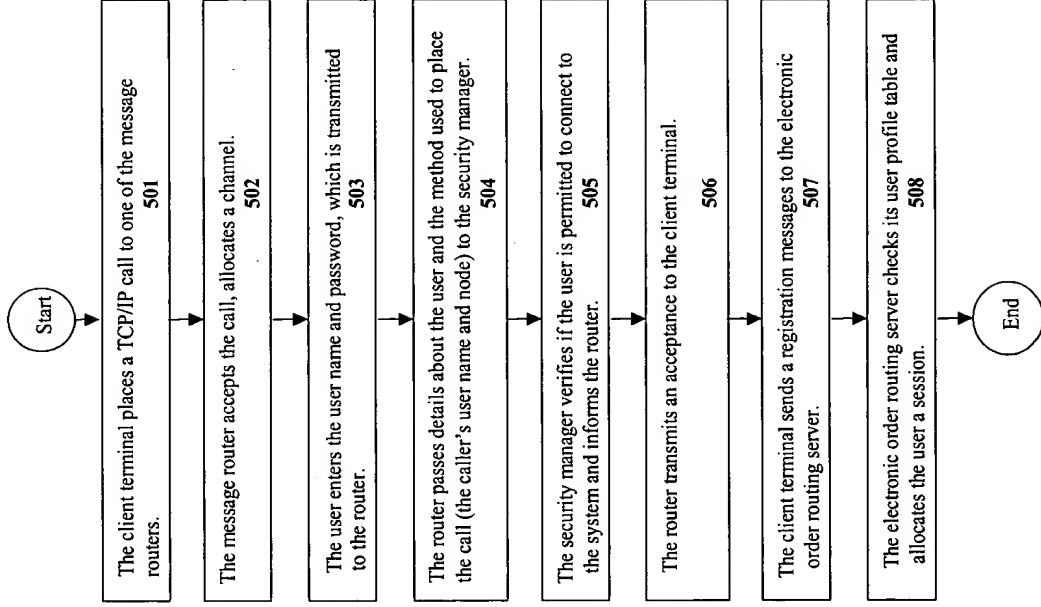


Fig 5/32

## Viewing Order Detail

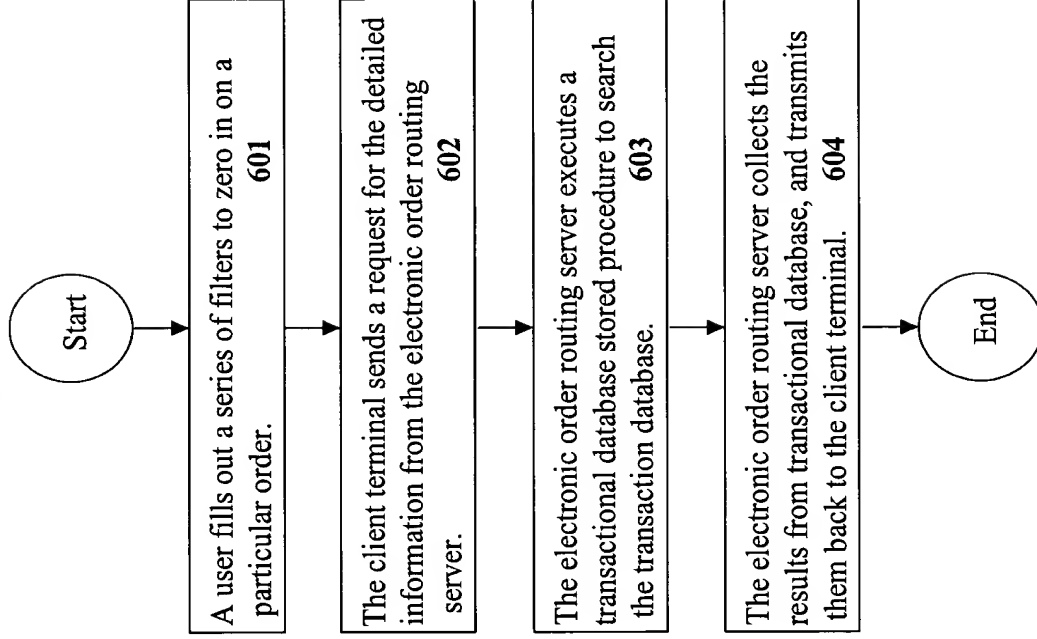


Fig 6/32

## Fund Manager Order Download

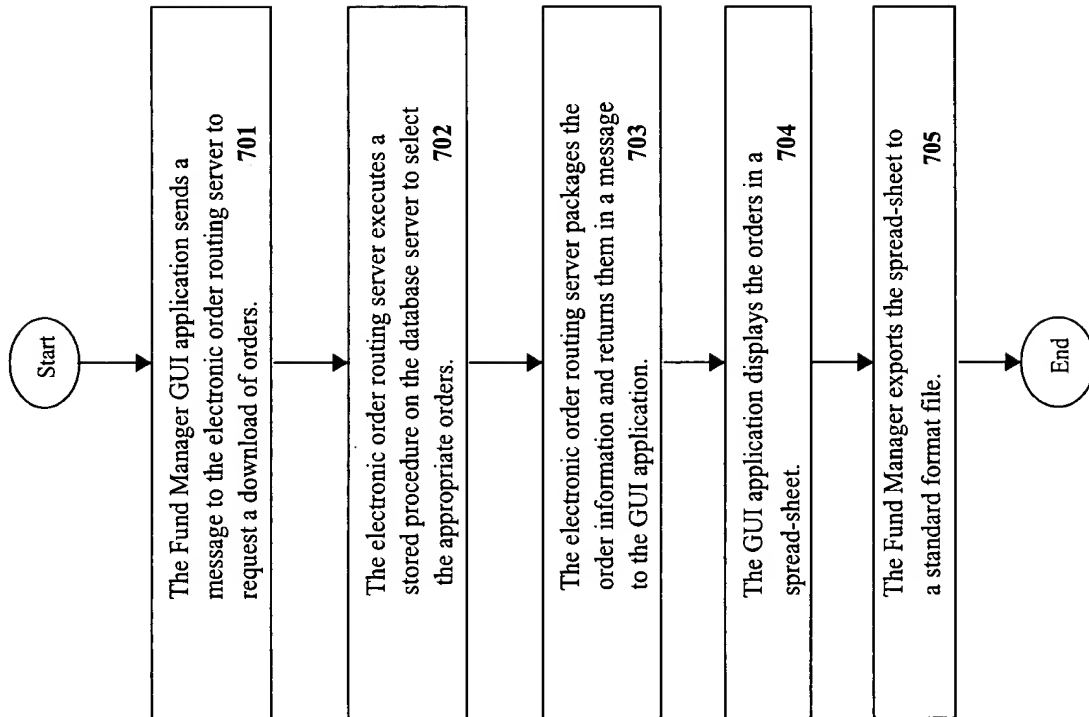



Fig 7/32



009270" 50292960

# Broker User Module – Initial Log-On



User ID:

Password:

Fig 8/32

009240" 50292960

## Broker User Module - View Rates

CrossMar Mutual Funds System    User: VES  
File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

| FundManger | FundName                  | FundID | ccy | Initial | NAV    | Bid    | Offer  | Date      |
|------------|---------------------------|--------|-----|---------|--------|--------|--------|-----------|
| Fidelity   | America                   | 971522 | USD | 0.0525  | 4.099  | 4.099  | 4.314  | 18-Mar-99 |
| Fidelity   | American Growth Inc       | 907046 | USD | 0.0525  | 15.160 | 15.160 | 15.956 | 18-Mar-99 |
| Fidelity   | ASEAN                     | 971523 | USD | 0.0525  | 7.139  | 7.139  | 7.514  | 18-Mar-99 |
| Fidelity   | Asian Special Situations  | 974004 | USD | 0.0525  | 6.049  | 6.049  | 6.367  | 18-Mar-99 |
| Fidelity   | Australia                 | 972152 | AUD | 0.0525  | 21.310 | 21.310 | 22.429 | 18-Mar-99 |
| Fidelity   | Emerging Markets          | 972998 | USD | 0.0525  | 5.449  | 5.449  | 5.735  | 18-Mar-99 |
| Fidelity   | Euro Balanced             | 973810 | EUR | 0.0525  | 10.370 | 10.370 | 10.914 | 18-Mar-99 |
| Fidelity   | Euro Blue Chip Fd         | 971525 | EUR | 0.0525  | 12.040 | 12.040 | 12.672 | 18-Mar-99 |
| Fidelity   | European                  | 988524 | EUR | 0.0525  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity   | European Growth           | 999131 | EUR | 0.0525  | 4.674  | 4.674  | 4.919  | 18-Mar-99 |
| Fidelity   | European Sm Cos F         | 974608 | EUR | 0.0525  | 11.360 | 11.360 | 11.956 | 18-Mar-99 |
| Fidelity   | Fid Premium Pflo Serv     |        | GBP | 0.0000  | 1.114  | 1.114  | 1.172  | 18-Mar-99 |
| Fidelity   | Fidelity Gestion          |        | EUR | 0.0000  | 9.029  | 9.029  | 9.503  | 18-Mar-99 |
| Fidelity   | Fidelity Gestion          |        | EUR | 0.0000  | 8.644  | 8.644  | 9.098  | 18-Mar-99 |
| Fidelity   | Fidelity Pfl Selector Glb |        | USD | 0.0000  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity   | Fidelity Premium Pfl      |        | USD | 0.0000  | 11.930 | 11.930 | 12.556 | 18-Mar-99 |
| Fidelity   | France                    | 971526 | EUR | 0.0525  | 23.330 | 23.330 | 24.555 | 18-Mar-99 |

Fund Manger

Fund Name

Fund ID

Currency

☐ Exact Search

Fig 9/32

009220"50292960

## Broker User Module - Transaction

CrossMar Mutual Funds System    User: VES

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

| FundManager | FundName                  | FundID | ccy | Initial | NAV    | Bid    | Offer  | Date      |
|-------------|---------------------------|--------|-----|---------|--------|--------|--------|-----------|
| Fidelity    | America                   | 971522 | USD | 0.0525  | 4.099  | 4.099  | 4.314  | 18-Mar-99 |
| Fidelity    | American Growth Inc       | 907046 | USD | 0.0525  | 15.160 | 15.160 | 15.956 | 18-Mar-99 |
| Fidelity    | ASEAN                     | 971523 | USD | 0.0525  | 7.139  | 7.139  | 7.514  | 18-Mar-99 |
| Fidelity    | Asian Special Situations  | 974004 | USD | 0.0525  | 6.049  | 6.049  | 6.367  | 18-Mar-99 |
| Fidelity    | Australia                 | 972152 | AUD | 0.0525  | 21.310 | 21.310 | 22.429 | 18-Mar-99 |
| Fidelity    | Emerging Markets          | 972998 | USD | 0.0525  | 5.449  | 5.449  | 5.735  | 18-Mar-99 |
| Fidelity    | Euro Balanced             | 973810 | EUR | 0.0525  | 10.370 | 10.370 | 10.914 | 18-Mar-99 |
| Fidelity    | Euro Blue Chip Fd         | 971525 | EUR | 0.0525  | 12.040 | 12.040 | 12.672 | 18-Mar-99 |
| Fidelity    | European                  | 988524 | EUR | 0.0525  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity    | European Growth           | 999131 | EUR | 0.0525  | 4.674  | 4.674  | 4.919  | 18-Mar-99 |
| Fidelity    | European Sm Cos F         | 974608 | EUR | 0.0525  | 11.360 | 11.360 | 11.956 | 18-Mar-99 |
| Fidelity    | Fid Premium Pflo Serv     |        | GBP | 0.0000  | 1.114  | 1.114  | 1.172  | 18-Mar-99 |
| Fidelity    | Fidelity Gestion          |        | EUR | 0.0000  | 9.029  | 9.029  | 9.503  | 18-Mar-99 |
| Fidelity    | Fidelity Gestion          |        | EUR | 0.0000  | 8.644  | 8.644  | 9.098  | 18-Mar-99 |
| Fidelity    | Fidelity Pfl Selector Glb |        | USD | 0.0000  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity    | Fidelity Premium Pfl      |        | USD | 0.0000  | 11.930 | 11.930 | 12.556 | 18-Mar-99 |
| Fidelity    | France                    | 971526 | EUR | 0.0525  | 23.330 | 23.330 | 24.555 | 18-Mar-99 |

Fund Manager

Fund Name

Fund ID

Currency

☐ Exact Search

SaveLayout

Search

Clear

Exit

Fig 10A/32

009220"50292960

# Broker User Module – Transaction

CrossMar Mutual Funds

File View Options Maintenance Reports Windows Help

Transaction

FundManagerFundName

FundM grABJapanese Smaller Companies

ISIN\_GCI

LU0051759768

Currency

USD

Initial

5.000

Redemption

1.000%

NAV

175.000

Bid

11.200

Offer

11.860

PricingDate

31/12/1998

Book Shares

☐ Nominee☒ Client

Account

D-003330

Dealing Terms

Standard

Client

Client48

Order Status

Basis

☒ Shares☐ Cash☐ Percentage

Transaction Type

Redemption

Number Of Shares

8,000

Settlement

☒ Standard☐ Non Standard

Settlement CCY

USD

Save Layout

Submit

Exit

Fig 10B/32

009220"50292960

Broker User Module – Sample of Fund Pricing with Selection of Fund, “Jump” to Transaction Screen

CrossMar Mutual Funds - Place Order    User: VES

Fund Manager    Fund Name  
Fidelity    Euro Blue Chip Fd

Fund ID    CCY    Initial    NAV    Bid    Offer    Price Date  
971525    EUR    0.0525    12.040    12.040    12.672    18-Mar-99

Book Shares  
☒ Nominee    ☐ Client

Basis  
☒ Shares    ☐ Cash

Settlement  
☒ Standard    ☐ Non standard

Account  
[ ]

Dealing Terms  
Standard

Transaction Type  
Purchase

Settlement CCY  
EUR

Transaction Reference  
[ ]

Order Status  
Pending

Exit    Allocate    Submit    Next    Previous

Fig 11/32

Broker User Module – Sample of Purchase Transaction (for shares, standard settlement)

Fig 12/32



009220"50292960

# Broker User Module – Sample of Purchase Transaction (for cash, standard settlement)

CrossMar Mutual Funds - Place Order    User: YES

Fund Manager    Fund Name    Fund ID    CCY    Initial    NAV    Bid    Offer    Price Date

Fidelity    Euro Blue Chip Fd    971525    EUR    0.0525    12.040    12.040    12.672    18-Mar-99

Book Shares    ☒ Nominee    ☐ Client

Basis    ☒ Shares    ☒ Cash

Cash amount

Settlement    ☒ Standard    ☐ Non standard

Account

Dealing Terms

Transaction CCY

Transaction Type

Rounding

Settlement CCY

NS Instructions

Bank

City

Account ID

Transaction Reference

Order Status

Pending

Exit    Allocate    Submit    Next    Previous

Fig 13/32

Express Mail No. BL 507837494 US

009240"50292960

# Broker User Module – Sample of Purchase Transaction (for cash, non-standard settlement)

CrossMar Mutual Funds - Place Order User: VES

|              |                   |         |     |         |        |        |        |            |
|--------------|-------------------|---------|-----|---------|--------|--------|--------|------------|
| Fund Manager | Fund Name         | Fund ID | CCY | Initial | NAV    | Bid    | Offer  | Price Date |
| Fidelity     | Euro Blue Chip Fd | 971525  | EUR | 0.0525  | 12.040 | 12.040 | 12.672 | 18-Mar-99  |

Book Shares

☒ Nominee ☒ Client

Basis

☒ Shares ☒ Cash

Cash amount

Settlement

☒ Standard ☒ Non standard

Account

Transaction CCY

EUR

Rounding

Settlement CCY

EUR

Dealing Terms

Standard

Transaction Type

Redemption

NS Instructions

Bank

City

Account ID

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 14/32



009240"50292960

## Broker User Module – Sample of a Full Redemption

CrossMar Mutual Funds - Place Order
User: VES

|              |                          |         |     |         |       |       |       |            |
|--------------|--------------------------|---------|-----|---------|-------|-------|-------|------------|
| Fund Manager | Fund Name                | Fund ID | CCY | Initial | NAV   | Bid   | Offer | Price Date |
| Fidelity     | Asian Special Situations | 974004  | USD | 0.0525  | 6.049 | 6.049 | 6.367 | 22-Mar-99  |

Book Shares

☒ Nominee
☐ Client

Basis

☒ Shares
☐ Cash

Number of shares

1000

Settlement

☒ Standard
☐ Non standard

Account

FIDVESJOM001

Dealing Terms

Standard

Transaction Type

Purchase

Settlement CCY

EUR

Transaction Reference

Order Status

Pending

Save Layout

Exit

Allocate

Submit

Next

Previous

Fig 15/32

### Broker User Module – Sample Screen of a Partial Redemption (for Cash)

Fig 16/32

009220" 50292960

# Broker User Module – Full Switch Transaction

CrossMar Mutual Funds - Place Order

User: YES

| Fund Manager | Fund Name | Fund ID | CCY | Initial | NAV     | Bid     | Offer   | Price Date |
|--------------|-----------|---------|-----|---------|---------|---------|---------|------------|
| Fidelity     | America   | 971522  | USD | 0.0525  | 4.099   | 4.099   | 4.314   | 18-Mar-99  |
| Fidelity     | Japan     | 971532  | JPY | 0.0525  | 121.600 | 121.600 | 127.984 | 18-Mar-99  |

Book Shares

☒ Nominee

☒ Client

Basis

☒ Shares

☒ Cash

Cash amount

Account

Transaction CCY

EUR

Transaction Type

Switch

Rounding

☐ Full

☒ Partial

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 17/32

Express Mail No. EL 507837494 US

009220"50292960

## Broker User Module – Partial Switch Transaction (Cash)

CrossMar Mutual Funds - Place Order    User: VES

| Fund Manager | Fund Name | Fund ID | CCY | Initial | NAV     | Bid     | Offer   | Price Date |
|--------------|-----------|---------|-----|---------|---------|---------|---------|------------|
| Fidelity     | America   | 971522  | USD | 0.0525  | 4.099   | 4.099   | 4.314   | 18-Mar-99  |
| Fidelity     | Japan     | 971532  | JPY | 0.0525  | 121.600 | 121.600 | 127.984 | 18-Mar-99  |

Buy

Sell

Book Shares

☒ Nominee   ☐ Client

Basis

☒ Shares   ☒ Cash

Cash amount

Account

Transaction CCY

EUR

Transaction Type

Switch

Rounding

☐ Full   ☒ Partial

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 18/32

# Broker User Module - Sample View Order

CrossMar Mutual Funds System

User: VES

File

View

Options

Reports

Window

Help

CrossMar Mutual Funds - View Orders User: VES

31 orders

| FMID     | OrderRef          | OrderDate         | FundName                  | FundID | Status     | Type       | FMref        |
|----------|-------------------|-------------------|---------------------------|--------|------------|------------|--------------|
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 08:58 | Emerging Markets          | 972998 | Filled     | Purchase   | Fidelity0016 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 09:05 | Euro Blue Chip Fd         | 971525 | Filled     | Switch     | Fidelity0017 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 09:07 | Asian Special Situations  | 974004 | Filled     | Redemption | Fidelity0018 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 09:13 | America                   | 971522 | Filled     | Purchase   | Fidelity0019 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 10:08 | Asian Special Situations  | 974004 | Filled     | Purchase   | Fidelity0020 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 10:14 | Emerging Markets          | 972998 | Filled     | Switch     | Fidelity0021 |
| Fidelity | VESFIDVESBRM00100 | 01-Mar-1999 10:16 | Euro Blue Chip Fd         | 971525 | Filled     | Redemption | Fidelity0022 |
| Fidelity | VESFIDVESJOM00100 | 19-Mar-1999 09:35 | Euro Balanced             | 973810 | Filled     | Purchase   | Fidelity0023 |
| Fidelity | VESFIDVESJOM00100 | 19-Mar-1999 10:13 | Euro Balanced             | 973810 | Filled     | Purchase   | Fidelity0024 |
| Fidelity | VESFIDVESBRM00100 | 19-Mar-1999 10:59 | Euro Blue Chip Fd         | 971525 | ReceivedFM | Purchase   |              |
| Fidelity | VESFIDVESBRM00100 | 19-Mar-1999 10:59 | Euro Balanced             | 973810 | ReceivedFM | Purchase   |              |
| Fidelity | VESFIDVESJOM00100 | 19-Mar-1999 11:00 | Fidelity Gestion          |        | ReceivedFM | Purchase   |              |
| Fidelity | VESFIDVESJOM00100 | 19-Mar-1999 11:01 | Fidelity PFI Selector Glb |        | Pending    | Purchase   |              |
| Fidelity | VESFIDVESBRM00100 | 19-Mar-1999 11:01 | Fidelity Premium PFI      |        | Pending    | Purchase   |              |

Fund Manger

Fund Name

Fund ID

Status

OrderDate

Exact Search

SaveLayout

Search

Clear

Exit

Trade Cancel

Fig 19A/32

009220"50292960

## Broker User Module - Sample View Order

CrossMar Mutual Funds

Broker

FileView OptionsMaintenanceReportsWindowsHelp

View Orders

| Order ID       | FM ID      | Account No | Client ID | Fund Name           |
|----------------|------------|------------|-----------|---------------------|
| ▶ 199907141001 | FundMgrABC | k-2456     |           | Emerging Markets    |
| 199907151003   | FundMgrABC | k-2456     |           | Asian Opportunities |
| 199907151004   | FundMgrABC | k-2456     |           | Asian Opportunities |
| 199907151005   | FundMgrABC | D-003330   | Client48  | Eastern European    |

Fund Manager

From Date

To Date

15/07/1999

16/07/1999

Fund Name

Order ID

Status

Search

Clear

Refresh

Details

Save Layout

Trade Cancel

Exit

Fig 19B/32

009220"50292960

## Broker User Module – Sample of Error Message

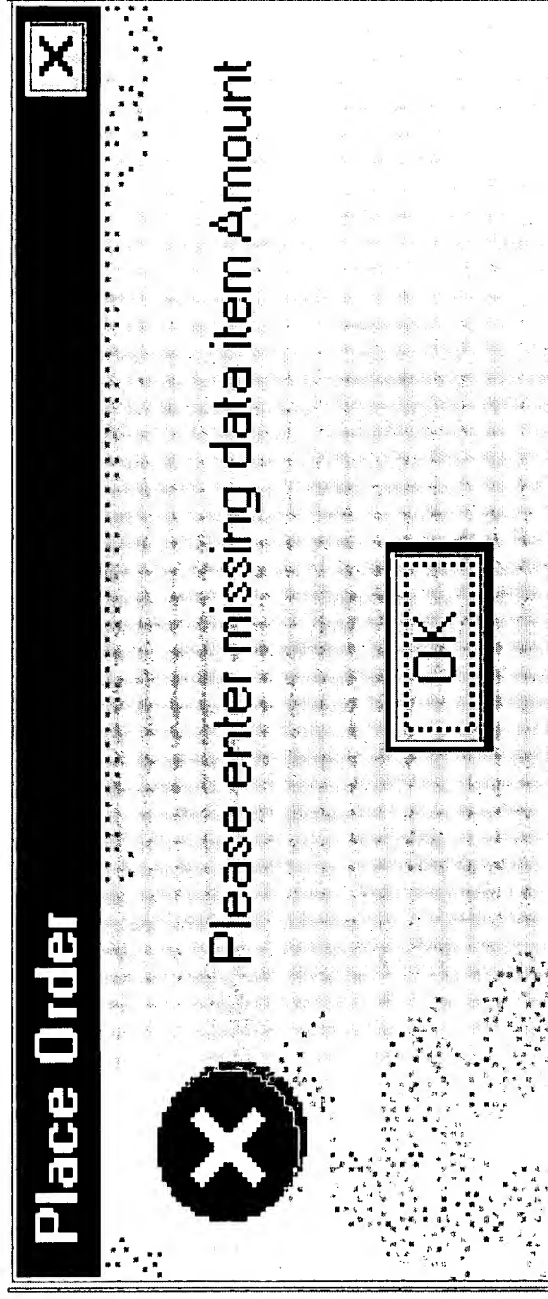
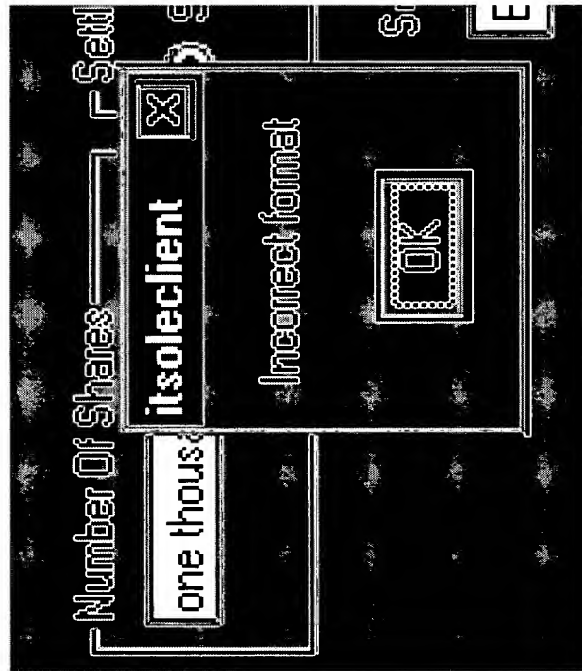


Fig 20A/32

## Broker User Module – Sample of Error Message

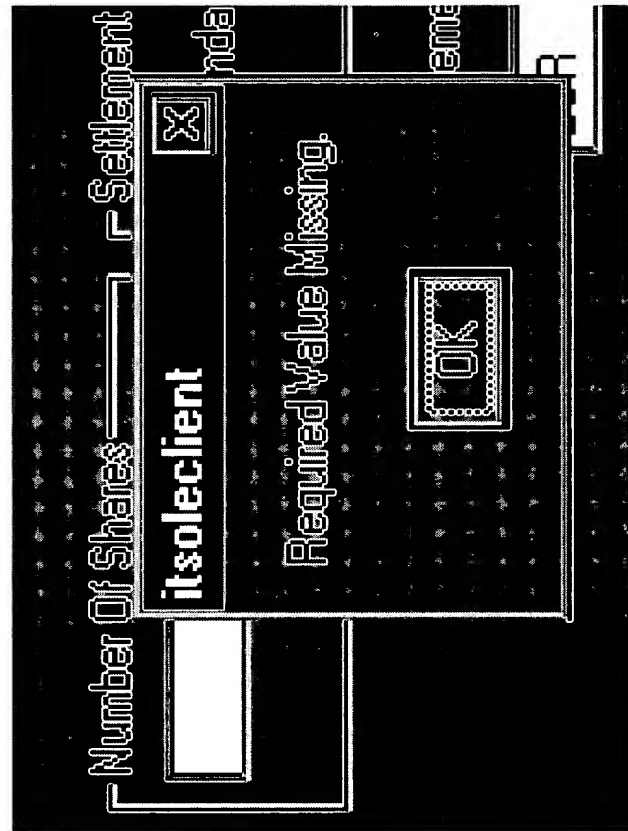


An error message in the  
CORS Transaction Window.  
The user entered "one  
thousand" in the "Number of  
Shares" field and then clicked  
"Submit."

Fig 20B/32



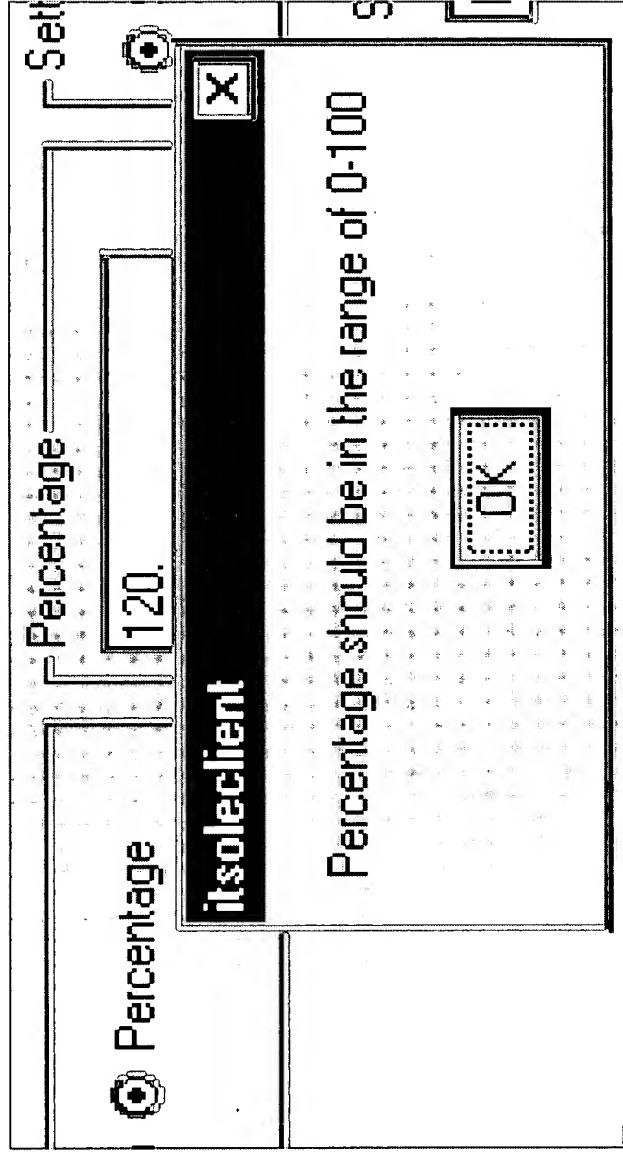
# Broker User Module – Sample of Error Message



An error message in the CORS Transaction Window. The user neglected to enter a value in the "Number of Shares" field before clicking "Submit."

Fig 20C/32

## Broker User Module – Sample of Error Message



An error message in the CORS Transaction Window. The user entered a percentage greater than 100% in the "Percentage" field and clicked "Submit."

Fig 20D/32

009240 50292960

## Broker User Module – Second Sample of Error Message

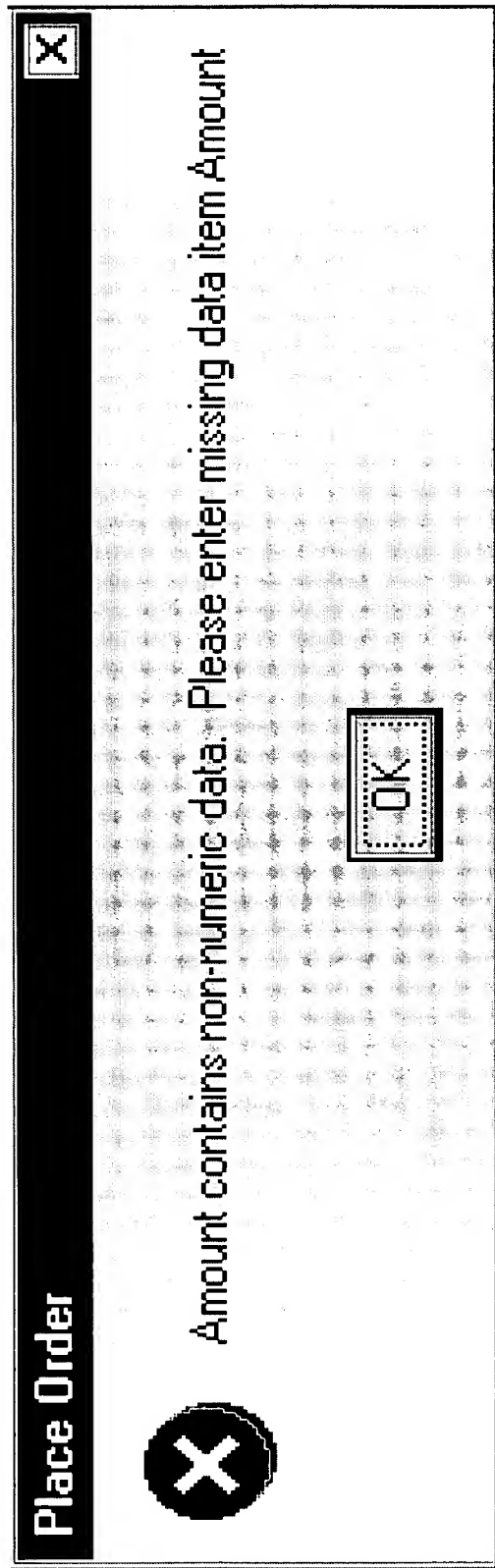


Fig 21/32

009220" 50292960

## Broker User Module – Sample Order Confirmation Message

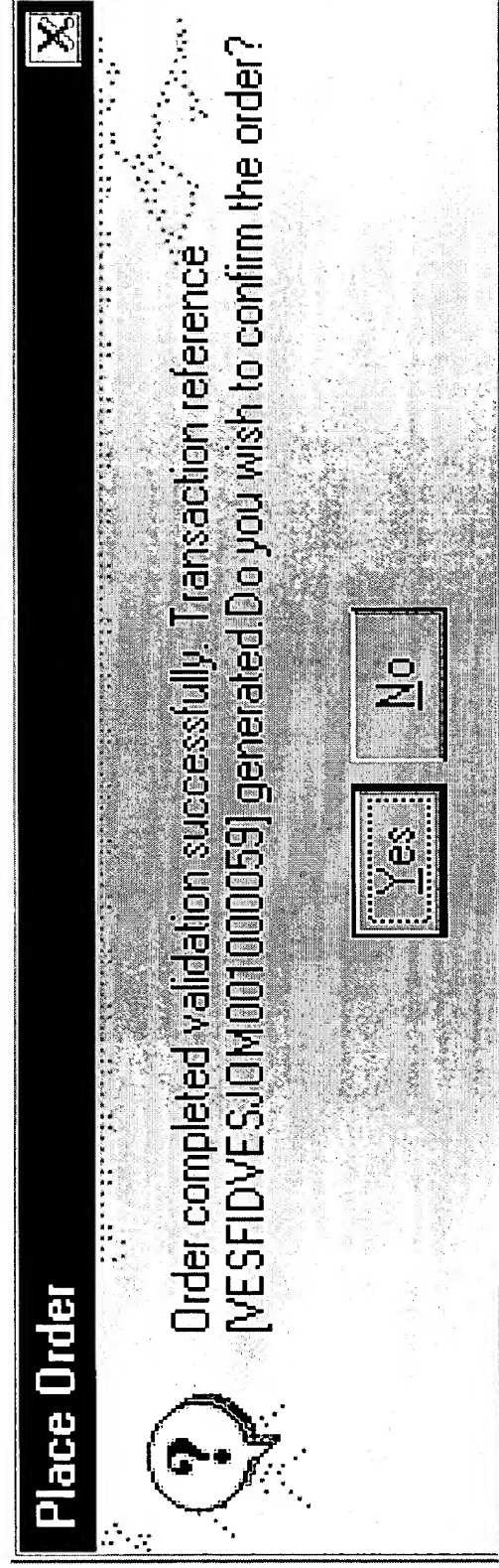


Fig 22A/32

009220" 50292960

## Broker User Module – Sample Order Confirmation Message

CORS

Please enter optional reference number

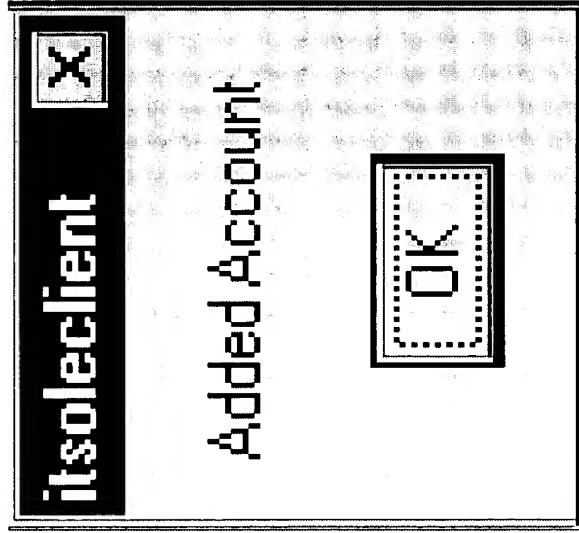
Order Completed Validation Successfully. Do You Wish to Confirm the Order?

Yes

No

Fig 22B/32

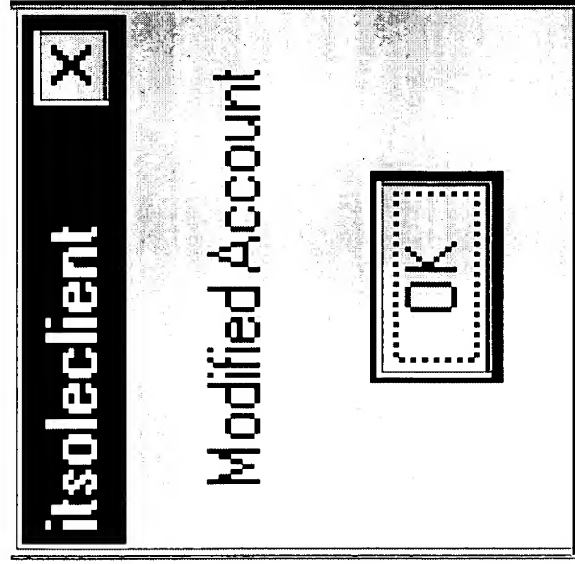
## Broker User Module – Sample Order Confirmation Message



CORS message indicating that  
an account has been added  
successfully

Fig 22C/32

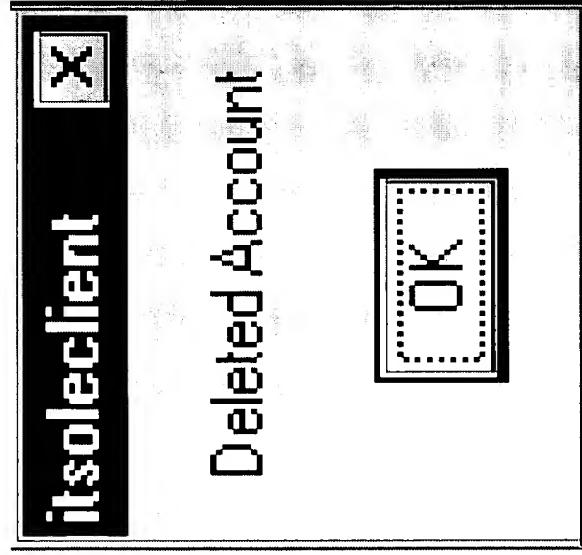
## Broker User Module – Sample Order Confirmation Message



CORS message  
indicating that an account  
has been updated  
successfully.

Fig 22D/32

Broker User Module – Sample Order Confirmation Message



CORS message indicating that  
an account has been  
successfully deleted.

Fig 22E/32



009220"50292360

## Broker User Module - View Orders

CrossMar Mutual Funds System    User: FIDELITY

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Orders   User: FIDELITY

30 orders

| BKID | OrderRef          | OrderDate         | FundName                 | FundID | Status  | Type       | FMref | Pric |
|------|-------------------|-------------------|--------------------------|--------|---------|------------|-------|------|
| VES  | VESFIDVESBRM00100 | 28-Feb-1999 15:45 | ASEAN                    | 971523 | Pending | Switch     |       |      |
| VES  | VESFIDVESBRM00100 | 28-Feb-1999 15:53 | Australia                | 972152 | Pending | Redemption |       |      |
| VES  | VESFIDVESBRM00100 | 28-Feb-1999 15:54 | Euro Balanced            | 973810 | Pending | Switch     |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 08:42 | Fidelity Gestion         |        | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 08:44 | Asian Special Situations | 974004 | Pending | Purchase   |       |      |
| VES  | VESFIDVESJOM00100 | 01-Mar-1999 08:45 | Australia                | 972152 | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 08:58 | Emerging Markets         | 972998 | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 09:05 | Euro Blue Chip Fd        | 971525 | Pending | Switch     |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 09:07 | Asian Special Situations | 974004 | Pending | Redemption |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 09:13 | America                  | 971522 | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 10:08 | Asian Special Situations | 974004 | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 10:14 | Emerging Markets         | 972998 | Pending | Switch     |       |      |
| VES  | VESFIDVESBRM00100 | 01-Mar-1999 10:16 | Euro Blue Chip Fd        | 971525 | Pending | Redemption |       |      |
| VES  | VESFIDVESJOM00100 | 19-Mar-1999 09:35 | Euro Balanced            | 973810 | Pending | Purchase   |       |      |
| VES  | VESFIDVESJOM00100 | 19-Mar-1999 10:13 | Euro Balanced            | 973810 | Pending | Purchase   |       |      |
| VES  | VESFIDVESBRM00100 | 19-Mar-1999 10:59 | Euro Blue Chip Fd        | 971525 | Pending | Purchase   |       |      |

Broker

Fund Name

Fund ID

Status

Order Date

☐ Exact Search

SaveLayout

Search

Clear

Exit

Upload

Download

Fig 23/32

009220" 50252960

## Broker User Module – Change Password

CrossMar Mutual Funds System    User: YES

File View Options Reports Window Help

✖ Password Change

Present Password

New Password

Confirm Password

OK

Exit

Fig 24/32

## Broker User Module – Set Defaults

☒ Global Certificate

☐ Registered Shares

☒ Nominee

☐ Client

☒ ISIN

☐ CEDEL

☐ LOCAL

☒ Shares

☐ Cash

☐ Percentage

☒ Standard

☐ Non Standard

☒ Standard

☐ Up

Fig 25/32

009270" 50292960

## Broker User Module – Add Clients

CrossMar Mutual Funds - Add Client User: VES

| Clients       |          |      |  |
|---------------|----------|------|--|
| ClientName    | ClientID | BKID |  |
| ▶ Mary Bryant | VESBRM   | VES  |  |
| ▶ Jones Mark  | VESJOM   | VES  |  |
| ▶ XYZ Client  | VESXYZ   | VES  |  |

Save Layout

Add

Delete

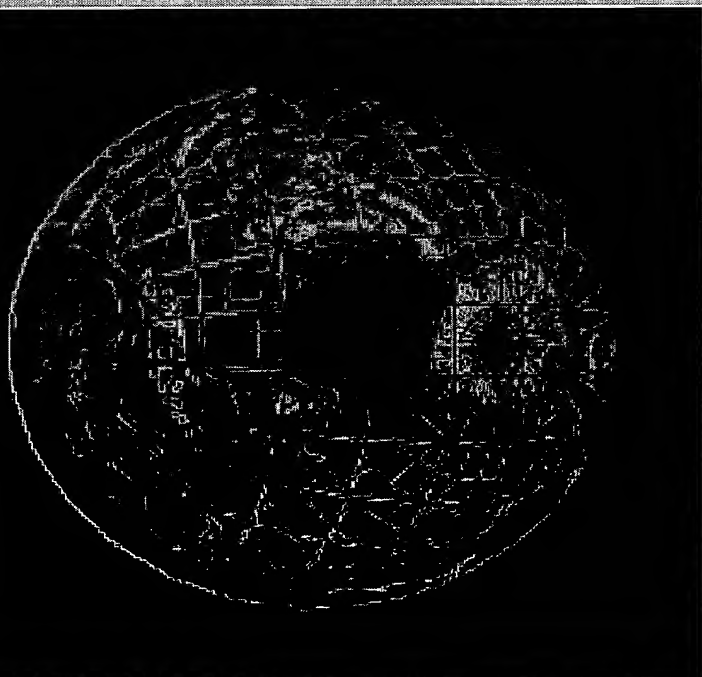

Upload

Exit

Fig 26/32

009220" 50292960

## Fund Manager User Module – Initial Log-On



User ID:

Password:

Fig 27/32

009220"50292960

## Fund Manager User Module - View Rates

CrossMar Mutual Funds System    User: VES

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

| FundManager | FundName                  | FundID | ccy | Initial | NAV    | Bid    | Offer  | Date      |
|-------------|---------------------------|--------|-----|---------|--------|--------|--------|-----------|
| Fidelity    | America                   | 971522 | USD | 0.0525  | 4.099  | 4.099  | 4.314  | 18-Mar-99 |
| Fidelity    | American Growth Inc       | 907046 | USD | 0.0525  | 15.160 | 15.160 | 15.956 | 18-Mar-99 |
| Fidelity    | ASEAN                     | 971523 | USD | 0.0525  | 7.139  | 7.139  | 7.514  | 18-Mar-99 |
| Fidelity    | Asian Special Situations  | 974004 | USD | 0.0525  | 6.049  | 6.049  | 6.367  | 18-Mar-99 |
| Fidelity    | Australia                 | 972152 | AUD | 0.0525  | 21.310 | 21.310 | 22.429 | 18-Mar-99 |
| Fidelity    | Emerging Markets          | 972998 | USD | 0.0525  | 5.449  | 5.449  | 5.735  | 18-Mar-99 |
| Fidelity    | Euro Balanced             | 973810 | EUR | 0.0525  | 10.370 | 10.370 | 10.914 | 18-Mar-99 |
| Fidelity    | Euro Blue Chip Fd         | 971525 | EUR | 0.0525  | 12.040 | 12.040 | 12.672 | 18-Mar-99 |
| Fidelity    | European                  | 988524 | EUR | 0.0525  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity    | European Growth           | 999131 | EUR | 0.0525  | 4.674  | 4.674  | 4.919  | 18-Mar-99 |
| Fidelity    | European Sm Cos F         | 974608 | EUR | 0.0525  | 11.360 | 11.360 | 11.956 | 18-Mar-99 |
| Fidelity    | Fid Premium Pflo Serv     |        | GBP | 0.0000  | 1.114  | 1.114  | 1.172  | 18-Mar-99 |
| Fidelity    | Fidelity Gestion          |        | EUR | 0.0000  | 9.029  | 9.029  | 9.503  | 18-Mar-99 |
| Fidelity    | Fidelity Gestion          |        | EUR | 0.0000  | 8.644  | 8.644  | 9.098  | 18-Mar-99 |
| Fidelity    | Fidelity Pfl Selector Glb |        | USD | 0.0000  | 12.080 | 12.080 | 12.714 | 18-Mar-99 |
| Fidelity    | Fidelity Premium Pfl      |        | USD | 0.0000  | 11.930 | 11.930 | 12.556 | 18-Mar-99 |
| Fidelity    | France                    | 971526 | EUR | 0.0525  | 23.330 | 23.330 | 24.555 | 18-Mar-99 |

Fund Manager

Fund Name

Fund ID

Currency

☐ Exact Search

SaveLayout

Search

Clear

Exit

Fig 28A/32

009270" 50292360

## Fund Manager User Module – View Rates

CostMar Mutual Funds

FundManager - [View Rates]

File

View Options

Maintenance

Reports

Windows

Help

|    | Fund Name                     | Curr | Bid Price | Offer       | Price      | NAV           | Zwisch        | Yield | Divid      | Perf      |
|----|-------------------------------|------|-----------|-------------|------------|---------------|---------------|-------|------------|-----------|
| 1  | Fund Prices & Information for |      |           |             |            |               |               |       |            |           |
| 2  |                               |      | 16.07.99  |             |            |               |               |       |            |           |
| 3  | Fund Name                     | Cmcy | Bid Price | Offer Price | Price Move | NAV Per Share | Zwisch gewinn | Yield | Divid Rate | Perfo YTD |
| 4  |                               |      |           |             |            |               |               |       |            |           |
| 5  | American                      | USD  | 88.700    | 93.850      | 0.940      | 1530.500      |               |       |            |           |
| 6  | American Blue Chip            | USD  | 10.780    | 11.400      | 0.090      | 10.400        |               |       |            |           |
| 7  | American Fledgling            | USD  | 96.010    | 100.520     | 0.630      | 308.000       |               |       |            |           |
| 8  | The New Fund                  | USD  | 88.170    | 92.580      | 0.750      | 917.790       |               |       |            |           |
| 9  | Asian Opportunities           | USD  | 20.870    | 22.080      | -0.190     | 263.200       |               |       |            |           |
| 10 | Balanced                      | EUR  | 7.200     | 7.630       | 0.000      | 28.800        | 0.110         |       |            |           |
| 11 | China                         | USD  | 12.060    | 12.760      | -0.290     | 219.300       |               |       |            |           |
| 12 | Eastern European              | EUR  | 14.460    | 15.300      | -0.080     | 331.100       |               |       |            |           |
| 13 | Emerging European             | USD  | 12.870    | 13.620      | -0.070     | 65.000        |               |       |            |           |
| 14 | Emerging Markets              | USD  | 9.960     | 10.120      | 0.030      | 111.000       |               |       |            |           |
| 15 | Emerging Markets Debt         | USD  | 11.910    | 12.350      | -0.010     | 49.700        | 1.300         |       |            |           |
| 16 | Euro Bond                     | EUR  | 5.990     | 6.210       | -0.030     | 123.500       | 0.250         | 0.037 |            |           |
| 17 | Euro Equity                   | EUR  | 36.400    | 37.460      | 0.010      | 266.000       |               |       |            |           |
| 18 | European                      | EUR  | 33.380    | 35.320      | 0.070      | 242.400       |               |       |            |           |
| 19 | European High Yield Bond      | EUR  | 5.280     | 5.480       | -0.020     | 72.800        | 0.520         |       |            |           |
| 20 |                               |      |           |             |            |               |               |       |            |           |

Import

Export

Accept

Enter

New Fund

No Errors Detected

Get Rates

Clear

Exit

Fig 28B/32

00920"50292960

## Fund Manager User Module – View Order

File

View

Options

Maintenance

Reports

Windows

Help

CrossMar Mutual Funds

FundManager - [View Orders]

| A        | B       | C         | D      | E          | F       | G        | H         | I         | J      | K     |
|----------|---------|-----------|--------|------------|---------|----------|-----------|-----------|--------|-------|
| Order ID | Fund    | Fund      | Broker | Client ID  | Account | Order    | Switch ID | Order     | Order  | Terms |
| 1        | 1999071 | LU0053685 | ABC    | Broker ABC | k-2455  | Redeem   | 0         | 1907/1999 | Filled | Cash  |
| 2        | 1999071 | LU0053685 | ABC    | Broker ABC | k-2455  | Purchase | 0         | 1907/1999 | Filled | Cash  |
| 3        |         |           |        |            |         |          |           |           |        |       |
| 4        |         |           |        |            |         |          |           |           |        |       |
| 5        |         |           |        |            |         |          |           |           |        |       |
| 6        |         |           |        |            |         |          |           |           |        |       |
| 7        |         |           |        |            |         |          |           |           |        |       |
| 8        |         |           |        |            |         |          |           |           |        |       |
| 9        |         |           |        |            |         |          |           |           |        |       |
| 10       |         |           |        |            |         |          |           |           |        |       |
| 11       |         |           |        |            |         |          |           |           |        |       |
| 12       |         |           |        |            |         |          |           |           |        |       |
| 13       |         |           |        |            |         |          |           |           |        |       |
| 14       |         |           |        |            |         |          |           |           |        |       |

Export

Import

Parse

Accept

Get Orders

☒ New

☐ Dates

Error

New Order

No Errors Detected

Broker

Fund Name

Fund ID

Order ID

Status

Search

Clear

Exit

Fig 29A/32



009220"50292960

## Fund Manager User Module – View Orders

CrossMar Mutual Funds

FundManager - [View Orders]

File View Options Maintenance Reports Windows Help

| A        | B       | C         | D      | E         | F       | G      | H         | I         | J     | K     |
|----------|---------|-----------|--------|-----------|---------|--------|-----------|-----------|-------|-------|
| Order ID | Fund    | Fund      | Broker | Client ID | Account | Order  | Switch ID | Order     | Order | Terms |
| 1        | 1999071 | LU0053685 | ABC    | Broker 1  | k-2455  | Redeem | 0         | 1907/1999 | Filed | Cash  |
| 2        |         |           |        |           |         |        |           |           |       |       |
| 3        |         |           |        |           |         |        |           |           |       |       |
| 4        |         |           |        |           |         |        |           |           |       |       |
| 5        |         |           |        |           |         |        |           |           |       |       |
| 6        |         |           |        |           |         |        |           |           |       |       |
| 7        |         |           |        |           |         |        |           |           |       |       |
| 8        |         |           |        |           |         |        |           |           |       |       |
| 9        |         |           |        |           |         |        |           |           |       |       |
| 10       |         |           |        |           |         |        |           |           |       |       |
| 11       |         |           |        |           |         |        |           |           |       |       |
| 12       |         |           |        |           |         |        |           |           |       |       |
| 13       |         |           |        |           |         |        |           |           |       |       |
| 14       |         |           |        |           |         |        |           |           |       |       |

Export

Parse

Get Orders

☒ New  
☐ Dates

Import

Accept

☒ Error  
☐ New Order

No Errors Detected

Broker

Fund Name

Fund ID

Order ID

Status

Search

Clear

Exit

Fig 29B/32

# Fund Manager User Module – Sample Specification of Location of Download File

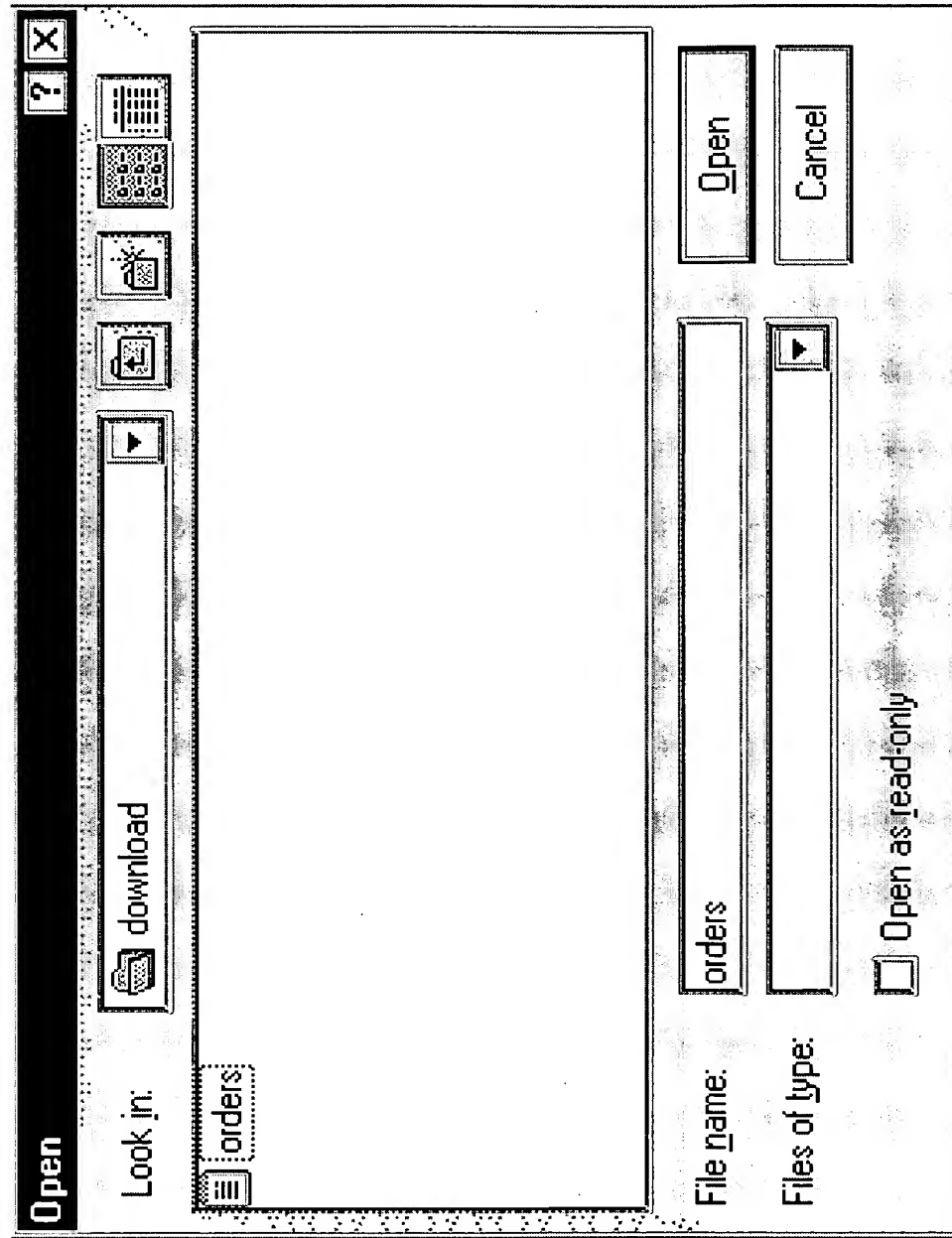


Fig 30A/32

009240"50292960

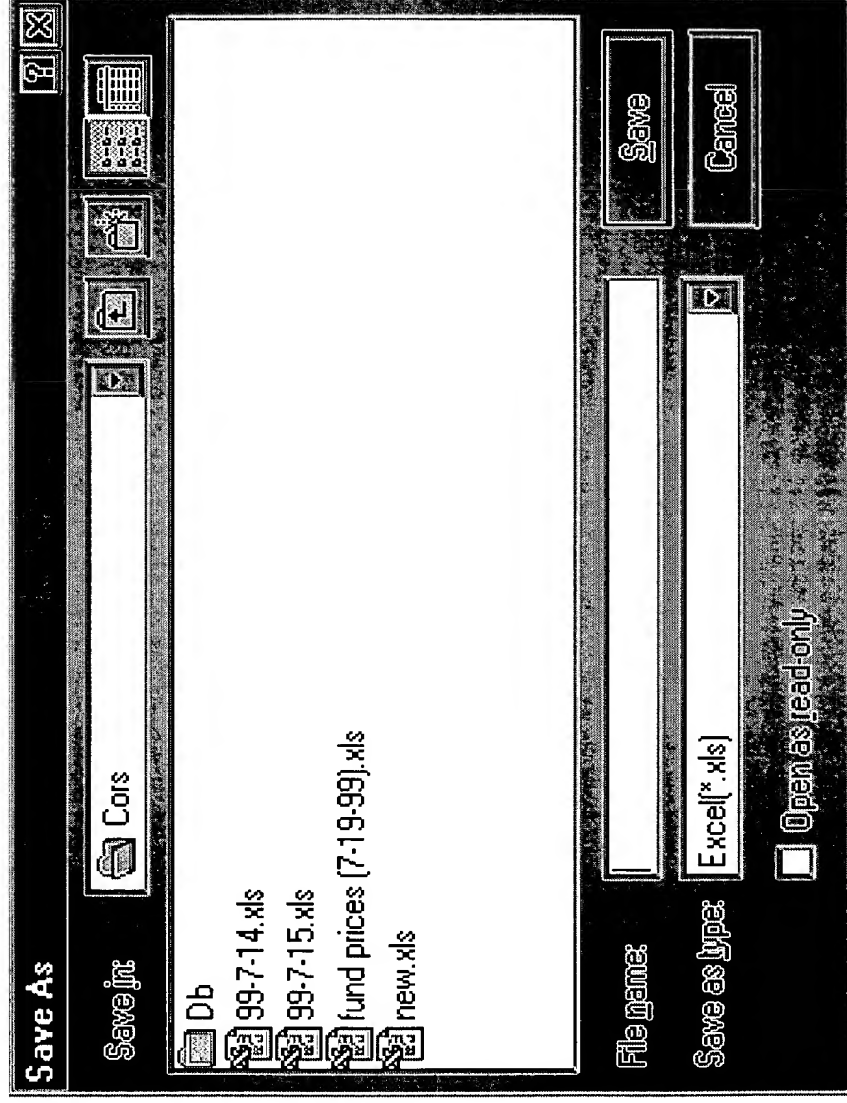
## List of Database Fields in the "View Order" User Modules

| #    | Field                | Description  | Always Present?         | Sample Value          |
|------|----------------------|--|-------------------------|-----------------------|
| 1.   | Order ID             | Order Transaction Reference number   | Yes                     | ABC199907131000       |
| 2.   | Fund Code            | CEDEL, ISIN, or local code for fund  | Yes                     | LU0072845869          |
| 3.   | Fund Name            | Fund name  | Yes                     | XYZ Emerging Markets  |
| 4.   | Broker Name          | Broker Identifier  | Yes                     | BBBrokerage           |
| 5.   | Client ID            | Client Identifier if client level order (Fund Manager's ID, not CrossMar's)  | Yes, if 6=client acct.  | Client48              |
| 6.   | Account No           | Broker Account number (nominee or client)  | Yes                     | 12756                 |
| 7.   | Order Type           | Purchase, Redeem, Switch Purchase, Switch Redeem   | Yes                     | Purchase              |
| 8.   | Switch ID            | Switch reference number, a unique numeric identifier linking the two sides of a switch.  | Yes, if 7=Switch        | 3                     |
| 9.   | Order Date           | Date the order was placed. After the daily cutoff time, new orders are dated as the next day.                                    | N/A                     | July 7, 1999 12:00:00 |
| 10.  | Order State          | Pending, ReceivedFM, Cancel, ReceivedFM Cancel, Filled, Rejected, or Wait (only "Wait" is manually input).                       | Yes                     | Pending               |
| 11.  | Terms                | Shares, Cash, Percentage   | Yes                     | Cash                  |
| 12.  | Cash Amount          | Amount of cash, if cash terms  | Yes, if 11=Cash         | 150000                |
| 13.  | Transaction Currency | Currency of cash, if cash terms  | Yes, if 11=Cash         | EUR                   |
| 14.  | Settlement Currency  | Currency of settlement   | Yes                     | USD                   |
| 15.  | Rounding             | Up, Down, or Full+Fraction   | Yes, if 11=Cash         | Down                  |
| 16.  | Percentage           | Percentage of holdings, if percentage terms (1)  | Yes, if 11=Percentage   | 57                    |
| 17.  | No of Shares         | Number of shares, if share terms   | Yes, if 11=Shares       | 1800                  |
| 18.  | Settlement Type      | Standard / Non-standard  | Yes                     | Standard              |
| 19.  | Bank                 | Bank name, if non-standard settlement  | Yes, if 18=Non-standard | Bob's Big Bank        |
| 20.  | City                 | City name, if non-standard settlement  | Optional                | Metropolis            |
| 21.  | Account              | Bank account number, if non-standard settlement  | Yes, if 18=Nonstandard  | 154562268             |
| 22.  | Swift                | Swift code, if non-standard settlement   | Optional                | 87654321              |
| 23.  | Dealing Terms        | Standard/Reinvest/Special Promotion  | Yes                     | Standard              |
| 24.  | Reinvest Comm        | All, 1% or 2%  | Yes, if 23=Reinvest     | 2%                    |
| 25.* | FM Ref               | Fund Manager Reference Number (optional)   | Optional                | 1234568               |
| 26.* | NAV                  | Net asset value per share in fund currency   | Yes                     | 124                   |
| 27.* | Total Funds          | Total funds due/to be received in settlement currency per field 14   | Yes                     | 10000                 |
| 28.* | Total Shares         | Total number of shares to be purchased or redeemed   | Yes                     | 1776                  |
| 29.* | FX Rate              | Foreign exchange rate used to convert settlement amount based in fund currency to settlement currency                            | Optional                | 1.35                  |
| 30.* | Zwischengewinn       | Re-invested interest rate of the fund since its inception  | Optional                | 0.11                  |
| 31.* | Value Date           | Date funds available, if applicable  | Yes                     | 13.10.1999            |
| 32.  | Execution Date       | Date uploaded into CORS  | Yes                     | 13.10.1999            |
| 33.  | Execution Time       | Time uploaded into CORS  | Yes                     | 17:34:49              |
| 34.* | Execution Price      | Broker's price per share in fund currency  | Yes                     | 121.000               |
| 35.* | Commission           | Commission due to the broker (optional)  | Optional                | 0                     |
| 36.* | Rejection Reason     | Reason for rejecting, if rejected. Often: unrecognized account number, redemption is greater than holding, or insufficient funds | Yes, if 10=Rejected     | Insufficient funds    |
| 37.* | Date Priced          | Date of pricing information  | Yes                     | 13.10.1999            |
| 38.* | Time Priced          | Time of pricing information  | Yes                     | 17:29:36              |
| 39.  | Entry Time           | Date/time order entered  | Yes                     | 13.07.99 17:29:36     |
| 40.  | Enterer              | User who entered the order   | Yes                     | CORXYZ                |
| 41.  | Accepted Time        | Date/time order received by Fund Manager   | Yes                     | 13.07.99 17:34:49     |
| 42.  | Acceptor             | User who received the order  | Yes                     | CORALK                |
| 43.  | Cancel Time          | Date/time order cancelled  | Yes                     | 15.07.99 16:07:26     |
| 44.  | Canceller            | User who cancelled the order   | Yes                     | CORS VK               |

\* Indicates item will be filled in by the Fund Manager upon confirmation or rejection of the order.

Fig 32/32

# Fund Manager User Module – Sample Specification of Location of Download File



Exporting order information to a user's local computer. The user must name the file and choose a location in which to store it.

Fig 30B/32

009220" 50292960

## Fund Manager User Module – Change Password

The screenshot shows a window titled "CrossMar Mutual Funds System" with a menu bar containing "File", "View", "Options", "Reports", "Window", and "Help". The user is identified as "User: VES". A "Password Change" dialog box is open, featuring three input fields labeled "Present Password", "New Password", and "Confirm Password". Below these fields are "OK" and "Exit" buttons. The background of the main window is a grid pattern.

Fig 31/32